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CF-017

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Phillip M. Ginsberg  
Application No.: 09/843,093 Confirmation No.: 8423  
Filed : April 26, 2001  
For : METHODS AND SYSTEMS FOR ACCESSING  
FINANCIAL PROSPECTUS DATA  
Group Art Unit : 2131

Hon. Commissioner  
for Patents  
Washington, D.C. 20231  
Attention: Box Missing Parts

RESPONSE TO  
NOTICE TO FILE MISSING PARTS OF APPLICATION

Sir:

In response to the June 21, 2001 Notice To File Missing Parts for the above-identified patent application, Applicant respectfully submits the following:

1. A copy of the Notice to File Missing Parts;
2. An executed Declaration;
3. A copy of the Abstract; and
4. A check in the amount of \$130.00 in payment of surcharge.

## REMARKS

### Submittal of Abstract

The Notice To File Missing Parts indicated that an abstract had not been filed with the application and an abstract was required under 37 C.F.R. § 1.72(b). The Applicant respectfully states that according to information contained in the postcard receipt for the application (attached), the abstract was sent and received by the U.S. Patent and Trademark Office. The postcard indicates that nine (9) pages of the application were received on April 26, 2001. The ninth page of the application was the abstract page. Nonetheless, in response to the Notice, a copy of the abstract page is transmitted herewith.

### Filing Date for the Application

As previously indicated, Applicant believes that the abstract page was submitted to the U.S. Patent and Trademark Office with the rest of the application on April 26, 2001. However, even if the abstract page was not previously received, Applicant is entitled to the April 26, 2001 filing date by virtue of having filed all required application items per 37 C.F.R. § 1.53(b) necessary to receive a filing date. On April 26, 2001, the Applicant filed a specification as prescribed by 35 U.S.C. § 112, containing a description pursuant to 37 C.F.R. § 1.71, containing at least one claim pursuant to 37 C.F.R. § 1.75, and containing required drawings. A filing of an abstract in accordance with

37 C.F.R. § 1.72 is not a requirement for receiving a filing date for an application as per 37 C.F.R. § 1.53(b).

Conclusion

In response to Notice of Missing Parts, Applicant respectfully states that abstract appears to have been filed in the U.S. Patent and Trademark Office on April 26, 2001. Nonetheless, a copy of abstract is transmitted herewith. Even if the abstract page was not previously transmitted, Applicant submits that it filed all required documents necessary to receive filing date of April 26, 2001 as per 37 C.F.R. § 1.53(b).

In further response to Notice of Missing Parts, Applicant submits herein an executed Declaration with associated surcharge payment.

The Director is hereby authorized to charge any additional fee or to credit any overpayment in connection with this paper of the related patent application to Deposit Account No. 06-1075.

Respectfully submitted,



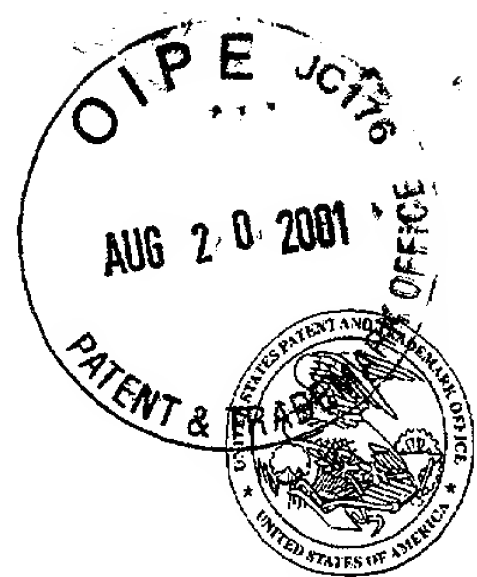
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I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
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Addressed to:  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

August 15, 2001  
Lillian Garcia



Signature of Person Signing



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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/843,093	04/26/2001	Phillip M. Ginsberg	CF-017

CONFIRMATION NO. 8423

1473  
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1251 AVENUE OF THE AMERICAS  
50TH FLOOR  
NEW YORK, NY 10020-1105

## FORMALITIES LETTER



\*OC000000006210107\*

Date Mailed: 06/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- An abstract was not provided for this application. An abstract of the technical disclosure is required under 37 CFR 1.72(b).

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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